



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/739,428	12/18/2000	Philip P.M. Finch	2537	3665

7590

08/25/2004

United States Surgical, a Division of Tyco
Healthcare Group, LP
150 Glover Avenue
Norwalk, CT 06856

EXAMINER

ROANE, AARON F

ART UNIT PAPER NUMBER

3739

DATE MAILED: 08/25/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/739,428

Applicant(s)

FINCH ET AL.

Examiner

Aaron Roane

Art Unit

3739

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 01 July 2004.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 20-36 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 20-36 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Election/Restrictions

Applicant's election of invention II, a method of treatment, claims 20-36 in the reply filed on 7/1/2004 is acknowledged. Because applicant did not distinctly and specifically point out the supposed errors in the restriction requirement, the election has been treated as an election without traverse (MPEP § 818.03(a)).

Additionally and/or alternatively, Applicant has elected the group II invention by canceling the claims drawn to group I invention. This election was done without specifically stating that the election is with or without traverse and will therefore be treated as an election without traverse.

Specification

The disclosure is objected to because of the following informalities:

On page 2, lines 7-9, Applicant incorrectly identifies the US patent "Method and Apparatus for Heating an Intervertebral Disc for Relief of Back Pain" by Menno E. Sluijter and

Art Unit: 3739

Eric R. Cosman, as USPN 4,433,739. This is incorrect. The correct patent number is 5,433,739.

Secondly the examiner suggests changing "Dinnervation" to -Denervation--.

Appropriate correction is required.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

The changes made to 35 U.S.C. 102(e) by the American Inventors Protection Act of 1999 (AIPA) and the Intellectual Property and High Technology Technical Amendments Act of 2002 do not apply when the reference is a U.S. patent resulting directly or indirectly from an international application filed before November 29, 2000. Therefore, the prior art date of the reference is determined under 35 U.S.C. 102(e) prior to the amendment by the AIPA (pre-AIPA 35 U.S.C. 102(e)).

Claims 20-25, 29-32 are rejected under 35 U.S.C. 102(e) as being anticipated by Sharkey et al. (USPN 6,126,682).

Regarding claim 20, Sharkey et al. disclose a method for relieving pain associated with an intervertebral disc having a disc nucleus pulposus and an outer annulus fibrous surrounding the nucleus pulposus, comprising; introducing a thermal transmitting element of a thermal probe (14) into the annulus fibrous of the intervertebral disc; and supplying thermal energy from a thermal energy source to the thermal transmitting element (“energy source” of col. 4, lines 28-32, “energy delivery element” of col. 5, lines 62-65 and (18) in col. 15) to heat the annulus fibrous adjacent the transmitting element sufficiently to relieve pain associated with the intervertebral disc, see abstract and col. 4 and figures 1D and 4.

Regarding claims 21 and 22, Sharkey et al. disclose the claimed invention, see col. 10-14 and element (16) of figure 4.

Regarding claims 23 and 24, Sharkey et al. disclose the claimed invention, see col. 4, lines 1-10 and figure 4.

Regarding claim 25, Sharkey et al. disclose the claimed invention, see col. 5, line 53 through col. 9, lines 37 and (12) in figure 4.

Regarding claims 29, 30, 35 and 36, Sharkey et al. disclose the claimed invention, see col. 15, lines 1-12 and col. 16, lines 49-67.

Art Unit: 3739

Regarding claims 31 and 32, Sharkey et al. disclose a method for relieving pain associated with an intervertebral disc, the intervertebral disc having a disc nucleus and all outer annulus surrounding the disc nucleus, the method comprising the steps of: accessing an intervertebral disc with a cannula; advancing a thermal probe having a heat transmitting region through the cannula into the intervertebral disc to position the heat transmitting region of the thermal probe in at least one of posterior, lateral and posterior-lateral areas of the annulus fibrous; and supplying thermal energy from a thermal energy source to the heat transmitting end region to heat the at least one area to treat pain associated with the intervertebral disc, wherein the step of accessing includes advancing a distal end of the cannula through the intervertebral disc to position the distal end within the annulus fibrous, see abstract and col. 4-14 and figures 1D and 4.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 26-28, 33 and 34 are rejected under 35 U.S.C. 103(a) as being unpatentable over Sharkey et al. (USPN 6,126,682) in view of Hertzmann et al. (USPN 5,084,043).

Art Unit: 3739

Regarding claims 26 and 33, Sharkey et al. disclose the claimed invention except for explicitly reciting that the cannula has an arcuate portion at the distal thereof. Hertzmann et al. disclose a method of treating spinal problems using an energy delivery means (132) and an arcuate or distally curved introducer/cannula "in situations where the patient's afflicted area is within the lumbar 5-sacrum 1 region of the vertebral column," see col. 7, lines 47-54 and figures 1 and 30B. Therefore at the time of the invention it would have been obvious to one of ordinary skill in the art to modify the invention of Sharkey et al., as taught by Hertzmann et al., to use an arcuate or distally curved introducer/cannula "in situations where the patient's afflicted area is within the lumbar 5-sacrum 1 region of the vertebral column."

Regarding claims 27, 28 and 34, Sharkey et al. in view of Hertzmann et al. disclose the claimed invention.

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Aaron Roane whose telephone number is (703) 305-7377. The examiner can normally be reached on 9am - 5pm, Monday - Friday.

Art Unit: 3739

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Linda Dvorak can be reached on (703) 308-0994. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

A.R. *A.R.*
August 21, 2004

Roy D. Gibson
ROY D. GIBSON
PRIMARY EXAMINER